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TRANSMITTAL FORM APR 29 2002 (to be used for all correspondence after initial filing)	Application Number	09/247,886	
	Filing Date	February 10, 1999	
	First Named Inventor	Juha Punnonen	
	Group Art Unit	1633	
	Examiner Name	S. Chen	
Total Number of Pages in This Submission	8	Attorney Docket Number	02-030210US

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ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Statement Under 37 CFR 3.73 (B)	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	receipt acknowledgment postcard
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Request for Refund	
Authorization to Charge Deposit Account Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Emily M. Haliday, Reg. No. 38,903, Quine Intellectual Property Law Group, P.C.
Signature	<i>Emily M. Haliday</i>
Date	4-15-02

CERTIFICATE OF MAILING

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Typed or printed name	Tracie Brooks		
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By Tracie Brooks
Tracie Brooks, QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.

Attorney Docket No. 02-030210US
Client Reference No.: 0156.110US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Juha Punnonen, et al.

Application No.: 09/247,886

Filed: February 10, 1999

For: TARGETING OF GENETIC
VACCINE VECTORS

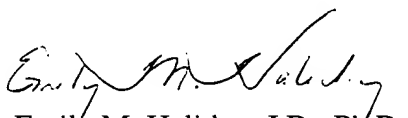
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Please make of record the following enclosed document regarding the above-identified application:

- 1) Statement Under 37 CFR 3.73(b)

Respectfully submitted,


Emily M. Haliday, J.D., Ph.D.
Reg. No. 38,903

QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.
P.O. BOX 458
Alameda, CA 94501
(510) 337-7871
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SUBMISSION OF STATEMENT UNDER
37 CFR 3.73 (B)

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant: Juha Punnonen, et al.

Application No.: 09/247,886

Filed: February 10, 1999

Entitled: TARGETING OF GENETIC VACCINE VECTORS

Maxygen, Inc.

, a

corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

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in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 009974, Frame 0388, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
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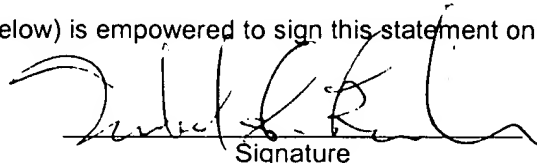
☐ Additional documents in the chain of title are listed on a supplemental sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

3/29/2002

Date



Signature

Michael S. Rabson

Typed or printed name

General Counsel and Sr. Vice President

Title



JULY 27, 1999

PTAS
TOWNSEND AND TOWNSEND AND CREW LLP
TIMOTHY L. SMITH, PH.D.
TWO EMBARCADERO CENTER
8TH FLOOR
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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/17/1999

REEL/FRAME: 009974/0388
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PUNNONEN, JUHA

DOC DATE: 03/31/1999

ASSIGNOR:

STEMMER, WILLEM P.C.

DOC DATE: 03/29/1999

ASSIGNOR:

HOWARD, RUSSELL

DOC DATE: 03/30/1999

ASSIGNOR:

PATTEN, PHILLIP A.

DOC DATE: 03/31/1999

ASSIGNEE:

MAXYGEN, INC.
515 GALVESTON DRIVE
REDWOOD CITY, CALIFORNIA 94063

SERIAL NUMBER: 09247886
PATENT NUMBER:

FILING DATE: 02/10/1999
ISSUE DATE:

009974/0388 PAGE 2

MAYA BENNETT, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

mid
5.17.99

05-28-1999

97-0302-00

FORM PTO-1595
(Rev. 6-93)

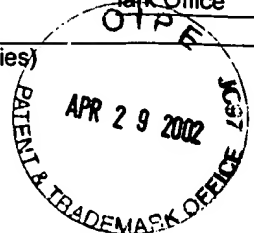
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(Patents Only)



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To the Honorable Asst. Commissioner for Patents. Please record the attach.

101050788



1. Name of conveying party(ies):

Juha Punnonen, Willem P.C. Stemmer, Russell Howard
and Phillip A. Patten

Additional name(s) of conveying parties attached? ☐ Yes
☒ No.

2. Name and address of receiving party(ies)

Name: Maxygen, Inc.

Internal Address:

Street Address: 515 Galveston Drive

City: Redwood City State: California ZIP: 94063

Additional names and addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger

☐ Security Agreement ☐ Change of Name

☐ Other:

Execution Date: March 29, 30 and 31, 1999

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4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/247,886 B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Timothy L. Smith, Ph.D.
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account

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Timothy L. Smith
Name of Person Signing

Atty Reg. No. 35,367

Signature

5/12/99
Date

Total number of pages including cover sheet, attachments and document 3

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ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, **Juha Punnonen**, a citizen of Finland residing at 4290 Wilkie Way, #P, Palo Alto, California 94306; **Willem P.C. Stemmer**, a citizen of The Netherlands residing at 108 Kathy Court, Los Gatos, California; **Russell Howard**, a citizen of Australia residing at 12700 Viscayno Road, Los Altos Hills, California 94022; and **Phillip A. Patten**, a citizen of the U.S.A. residing at 261 La Cuesta Drive, Menlo Park, California 94028, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: **TARGETING OF GENETIC VACCINE VECTORS**

Date(s) of execution of Declaration: _____

Filing Date: **February 10, 1999**

Application No.: **09/247,886**; and


WHEREAS, **Maxygen, Inc.**, a Delaware corporation, located at 515 Galveston Drive, Redwood City, California 94063, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3/31/99


Juha Punnonen

SIGNATURE WITNESSED BY:

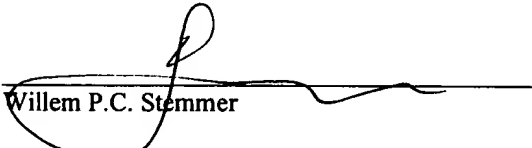
(1) Date: 3/31/99

Diane D. Gliozzi
Signature of Witness 1

(2) Date: 3/31/99

Laura J. Watanabe
Signature of Witness 2

Dated: 3-29-99


Willem P.C. Stemmer

SIGNATURE WITNESSED BY:

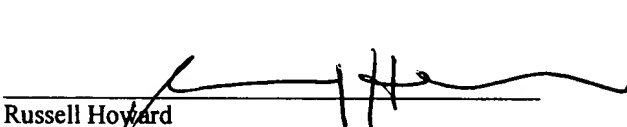
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Diane D. Gliozzi
Signature of Witness 1

(2) Date: 3/29/99

Laura J. Watanabe
Signature of Witness 2

Dated: 3-30-99


Russell Howard

SIGNATURE WITNESSED BY:

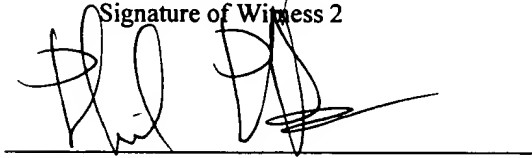
(1) Date: 3/30/99

Diane D. Gliozzi
Signature of Witness 1

(2) Date: 3/30/99

Laura J. Watanabe
Signature of Witness 2

Dated: 3-31-99


Phillip A. Patten

SIGNATURE WITNESSED BY:

(1) Date: 3/31/99

Diane D. Gliozzi
Signature of Witness 1

(2) Date: 3/31/99

Laura J. Watanabe
Signature of Witness 2